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Putative Class

UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA

DARRU K. "KEN" HSU, INDIVIDUALLY, AND  
AS TRUSTEE OF THE DARRU K. HSU AND  
GINA T. HSU LIVING TRUST U/A05/05/03,  
individually and on behalf of all others similarly  
situated,

Plaintiff,

vs.

UBS FINANCIAL SERVICES, INC., and DOES 1-  
50,

Defendants.

Case No. 3:11-cv-02076-WHA

NOTICE OF APPEAL TO THE UNITED  
STATES COURT OF APPEALS FOR THE  
NINTH CIRCUIT

Plaintiff DARRU K. "KEN" HSU, INDIVIDUALLY, AND AS TRUSTEE OF THE DARRU K.  
HSU AND GINA T. HSU LIVING TRUST U/A05/05/03 ("Plaintiff") individually and on behalf of a  
class of all others similarly situated appeal to the United States Court of Appeals for the Ninth  
Circuit from the Order Granting Defendant's Motion to Dismiss First Amended Class Action  
Complaint and Vacating hearing, entered in this action on August 5, 2011.

Dated: September 6, 2011

HORNSTEIN LAW OFFICES, Prof. Corp.

By:   
VAL D. HORNSTEIN

Attorneys for Plaintiff/ Appellant and  
Putative Class

**FILED**  
2011 SEP -6 A 11:00  
RICHARD W. WIEKING  
CLERK, U.S. DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA

HORNSTEIN LAW OFFICES, Prof. Corp.